

Interview Summary	Application No.	Applicant(s)	
	09/454,865	TANIGUCHI ET AL.	
	Examiner	Art Unit	
	Carl Colin	2136	

All participants (applicant, applicant's representative, PTO personnel):

(1) Carl Colin.

(3) Ayaz Sheikh.

(2) Daniel A Tanner, III.

(4) ____.

Date of Interview: 13 October 2005.

Type: a) ☒ Telephonic b) ☐ Video Conference
c) ☐ Personal [copy given to: 1) ☐ applicant 2) ☐ applicant's representative]

Exhibit shown or demonstration conducted: d) ☐ Yes e) ☒ No.
If Yes, brief description: ____.

Claim(s) discussed: 1.

Identification of prior art discussed: Bauer 096, Sudia (US2002/0013898).

Agreement with respect to the claims f) ☐ was reached. g) ☒ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: See Continuation Sheet.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

Carl Colin
Examiner's signature, if required

Summary of Record of Interview Requirements

Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

Continuation of Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: Applicant's representative discusses the interview of October 6, held with the Examiner and mentions that Applicant was not not being afforded with the specificity in the rejection of claim 1. Applicant, in his request for clarification, agrees that Examiner may fax him a document on Monday 10/17/05, that will provide him with the specificity as requested. A copy of the document with the specificity in the rejection of claim 1 as requested was received and confirmed by Applicant's Representative.

As per claims 1, 10, 11, and 12, Bauer et al. substantially teaches a distribution information management system having a structure comprising a control and monitoring unit connected with the goods to be distributed with sensors and actuators for storing state of distribution process that meets the recitation of a data carrier attached to an article for storing the information of the article (see column 2, lines 10-24),

a distribution information processing module (3) comprising:

quick look unit (51) and interface (31) as input/output circuit for data reading in or out of the control monitoring unit that meets the recitation of a reading part and storing part that reads out data of the data carrier and stores information in the data carrier, for example (see column 6, lines 18-25);

an information generating unit (41) that processes the information to be stored in the data carrier wherein the information includes at least a signer identifier that is a receiver identifier of last information stored in the data carrier, for example (see column 2, lines 25-28; column 5, line 66 through column 6, line 15 and column 5, lines 9-21);

communication lines for communication between (2) and (4) or (3) and (4) that meets the recitation of a first communication part that communicates with the distribution information management module (4) (see figure 1);

a memory card (2), (first information verification unit) comprising:

a computer (32), (first verification part), for read write access and suggests using access code that meets the recitation of a first information verification unit comprising a first verification part that verifies the information read out from the data carrier a first verification key storage part (33 and 34) that stores the verification key used by the first

information verification part for verification of the information, for example (see column 2, lines 15-25 and column 6, lines 1-55);

an information generating unit (41) that processes the information to be stored in the data carrier comprising: distribution information generating part (44) that generates the information to be stored in the data carrier (see column 2, lines 24-38 and column 6, lines 38-65).

Bauer et al. discloses a programmable card as well as an analysis unit for verifying all transactions during the distribution process, for example (see column 2, line 47 through column 3, line 35) and discloses each unit comprising computer and interfacing with the memory card and capable of interfacing with each other (see figure 1). Although **Bauer et al.** discloses some security with access code etc., **Bauer et al.** does not explicitly disclose a signature generating process that stores signature key information for generating a digital signature. However, **Sudia et al** in an analogous art discloses a distribution verification system that is able to sign and verify the signature of the sender comprising first verification key storage part that stores the verification key used by the first information verification part for verification of the information, for example (see page 3, paragraphs 44-45, 0047-0048; page 5, paragraph 72; page 6, paragraph 78), a signature module that performs signature generating process, for example (see page 4, paragraph 0054); a signature key storage part that stores the signature key information used by the signature module for generating a digital signature, for example (see page 4, paragraphs 0054-0055); **Sudia et al** discloses that each signing device and each authorizing agent has set of public and signature verification keys of other devices (page 5, paragraph 0066), and suggests that keys will be selected or

acquired from the stored keys (page 4, paragraph 0050) that meets the recitation of a signature key information selection part; that selects a signature key information stored in the signature key storage part; a signature key information acquisition part that acquires the signature key information from the distribution information management module, for example (see page 4, paragraph 0050); the signature module comprising: a signature part that generates a digital signature for the information generated by the distribution information generating part, for example (see page 4, paragraphs 0054-0055); and a first signer private information storage part that stores signer private information used by the signature part for generating a digital signature, for example (see page 4, paragraphs 0054-0055); **Sudia et al** discloses assigning or including in the header of each document a document and signature tracking to assist in managing the flow of documents through the system comprising the total number of partial signatures needed to complete the signature and the number of partial signatures already applied (see page 14, paragraphs 229-234) that meets the recitation of a signature key use limit information storage part that stores a signer key use limit information to indicate whether the signature key information is already used. **Sudia et al** suggests interaction between devices and a signature key information generating part that generates a signature key information used by the distribution information processing module, for example (see page 5, paragraphs 0067-0072) **Sudia et al** adds that the verification process disclosed offers several advantages in preventing tampering (page 4, paragraph 0053) including applying a signature and at the same time verifying the signature of the sender and with improved security and flexibility (see page 1, paragraphs 0006 and 0012). Therefore, it would have been obvious to one skilled in the art at the time the invention was made to modify the

system of **Bauer et al.** to provide a key signature verification process as taught by **Sudia et al** capable of generating, storing, selecting key, and verifying signature of the sender. This modification would have been obvious because one skilled in the art would have been motivated by the suggestions provided by **Sudia et al** so as to provide an improved signature verification process that can detect unauthorized verifiers and signers with increased security and flexibility, for example (see page 1, paragraphs 0006 and 0012).

Bauer et al. discloses communication lines for communication between (2) and (4) or (3) and (4) that meets the recitation of a first communication part that communicates with the distribution information management module (4) (see figure 1); and further discloses the distribution information management module (4) comprising: interface that meets the recitation of a second communication part that communicates with the distribution information processing module, for example (see column 6, lines 35-50);

Bauer et al. discloses a programming unit capable of programming information and access codes in the control and monitoring unit (1) and a memory card (2) and processing and verifying information (column 4, line 66 through column 5, lines 37) that meets the recitation of second information verification part that verifies the information received from the distribution information processing module; other unit such as (61) that may be connected to (4) may perform similar process for example (see column 6, lines 32-65).

Sudia et al discloses signing device and authorizing agent that can perform the same function as discussed above (see page 5, paragraph 0057); therefore, **Sudia et al** also discloses a second verification key storage part that stores the verification key used

by the second information verification part for verification of the information (see page 5, paragraph 0066); a signature key information generating part that generates a digital signature key information used by the distribution information processing module for generating a distribution information, for example (see page 5, paragraph 0069); a signature key storage part and a signer private information selection part that selects signer private information used by the signature key information generating part for generating signature key information (see page 4, paragraphs 0054-0055); and a second signer private information storage part that stores the signer private information (see page 5, paragraphs 0066 and 0072). Therefore, it would have been obvious to one skilled in the art at the time the invention was made to modify the system of **Bauer et al.** to provide a second key signature verification unit as taught by **Sudia et al** capable of generating, storing, selecting key, and verifying signature of the sender. This modification would have been obvious because one skilled in the art would have been motivated by the suggestions provided by **Sudia et al.** so as to provide an improved signature verification process that can detect unauthorized verifiers and signers with increased security and flexibility, for example (see page 1, paragraphs 0006 and 0012).

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Pages: 6 including this one

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Date: 10/17/05

Re: Clarification of claim 1 rejection 09/454865 **CC:**

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